

*This Referencer has been prepared to facilitate the shareholders to understand the procedures involved in completing various investor-related transactions in general. Shareholders are requested to refer to the relevant Acts, Rules, Regulations, Guidelines, Clarifications, etc. before dealing in the securities of the Company.*

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## COMPANY'S INFORMATION

**About Alok Industries Limited (CIN: L17110DN1986PLC000334)**

Alok Industries Limited ('the Company') is an integrated textile company with a product range comprising of cotton and polyester goods. It was incorporated on 12<sup>th</sup> March, 1986 as a private limited company with the company's first polyester texturizing plant being set up in 1989. It became a public limited company in 1993.

### Capital Structure:

(Amount in Rs.)

Particulars	Equity Shares	Preference Shares
Authorised Share Capital	3500,00,00,000	500,00,00,000
Paid Up Share Capital	496,52,40,401	250,00,00,000

Particulars	Preference Shares
Number of Shares	250,00,00,000
Face Value	Rs. 1.00
ISIN	INE270A03025

As a part of the Resolution Plan approved by the National Company Law Tribunal, Ahmedabad Bench, the Company had on 28<sup>th</sup> February, 2020, allotted on preferential basis to Reliance Industries Limited ("RIL"), 250,00,00,000 - 9% Optionally Convertible Preference Shares ("OCPS") of Re. 1 each for cash at par, for a total consideration of Rs. 250 crore. During the Financial Year 2021-22, the OCPS were due for conversion at the option of RIL. Since RIL did not exercise its option to convert OCPS into equity shares, as per the terms and conditions of the OCPS, the Company will redeem the same on 27<sup>th</sup> February, 2030, i.e. the last day of the 10<sup>th</sup> anniversary of the date of allotment, by paying an amount at least equal to the outstanding OCPS subscription amount and there shall be no impact on Equity Share Capital of the Company.

Particulars	Equity Shares
Number of Shares	496,52,40,401
Face Value	Rs. 1.00
% of shares held in Demat Form as on 31 <sup>st</sup> March, 2023	99.96
Number of Shareholders as on 31 <sup>st</sup> March, 2023	5,32,284
Listed on	<b>BSE Limited (BSE)</b> Phiroze Jeejeebhoy Towers, Dalal Street, Mumbai - 400 001. Website: <a href="http://www.bseindia.com">www.bseindia.com</a>

Particulars	Equity Shares
	<b>National Stock Exchange of India Limited (NSE)</b> Exchange Plaza, Bandra Kurla Complex, Bandra (E), Mumbai - 400051. Website: <a href="http://www.nseindia.com">www.nseindia.com</a>
<b>ISIN</b>	INE270A01029
<b>Stock Code</b>	BSE - 521070 / NSE - ALOKINDS

**Contact Details:**

Registered Office	17/5/1, 521/1, Village Rakholi/ Saily, Silvassa, Union Territory of Dadra and Nagar Haveli - 396230. Tel No.: 0260 6637001
Corporate Office	Tower B, 2 <sup>nd</sup> & 3 <sup>rd</sup> Floor, Peninsula Business Park, Ganpatrao Kadam Marg, Lower Parel, Mumbai - 400013. Tel No.: +91 22 61787000 E-mail: <a href="mailto:investor.relations@alokind.com">investor.relations@alokind.com</a>
Nodal Officer	Mr. Hitesh Kanani Tower B, 2 <sup>nd</sup> & 3 <sup>rd</sup> Floor, Peninsula Business Park, Ganpatrao Kadam Marg, Lower Parel, Mumbai - 400013. Tel No.: +91 22 61787000 E-mail: <a href="mailto:hitesh.kanani@alokind.com">hitesh.kanani@alokind.com</a>
Registrar and Transfer Agent (RTA)	Link Intime India Private Limited C-101, 247 Park, LBS Marg, Vikhroli (West), Mumbai - 400083. Tel No.: +91 022 49186000 Fax: +91 022 49186060 Email: <a href="mailto:rnt.helpdesk@linkintime.co.in">rnt.helpdesk@linkintime.co.in</a> Website: <a href="http://www.linkintime.co.in">www.linkintime.co.in</a>

**Shareholding Pattern:**

Sr. No.	Category of Shareholders	No. of Shares	%
1.	Promoter & Promoter Group		
a.	Reliance Industries Limited (RIL) (Promoter)	198,65,33,333	40.01
b.	JM Financial Asset Reconstruction Company Limited acting in its capacity as Trustee of JMFARC - March 2018-Trust (JMFARC) (Person Acting in Concert) (Refer Note below)	173,73,11,844	34.99
2.	Public	124,13,95,224	25.00
<b>TOTAL</b>		<b>496,52,40,401</b>	<b>100.00</b>

**Note:**

RIL is the promoter of the Company and JMFARC is the Person Acting in Concert (PAC) with RIL but considering that there is no provision for PAC in the prescribed format of Shareholding Pattern, they have been shown as part of the Promoter Group with an explanatory note.

**Composition of Board of Directors of the Company:**

Name of Directors	Category
Mr. A. Siddharth	Non-Executive - Independent Director (Chairman)
Ms. Mumtaz Bandukwala	Non-Executive - Independent Director
Mr. Rahul Dutt	Non-Executive - Independent Director
Mr. Hemant Desai	Non-Executive - Nominee Director of RIL
Mr. Anil Kumar Rajbanshi	Non-Executive - Nominee Director of RIL
Mr. V. Ramachandran	Non-Executive - Nominee Director of RIL
Mr. Nirav Parekh	Non-Executive - Nominee Director of JMFARC

**Composition of Committees of Board of Directors:**

The detail composition of the Committees of Board of Directors of the Company such as Audit Committee, Nomination and Remuneration Committee, Corporate Social Responsibility and Governance Committee, Stakeholders Relationship Committee and Risk Management Committee is available on the website of the Company at [https://www.alokind.com/Committee\\_Composition.html](https://www.alokind.com/Committee_Composition.html).



**Key Managerial Personnel:**

Pursuant to Regulation 30 (5) of Listing Regulations, the contact details of the Key Managerial Personnel authorised for the purpose of determining the materiality of event or information is mentioned below:

<b>Name &amp; Designation</b>	<b>Address &amp; Contact No.</b>	<b>Email Id</b>
Mr. Ram Rakesh Gaur	Peninsula Business Park,	rakesh.gaur@alokind.com
Mr. Bijay Agrawal – Chief Financial Officer (CFO)	Tower B, 2 <sup>nd</sup> & 3 <sup>rd</sup> Floor, G. K. Marg, Lower Parel,	bijay.agrawal@alokind.com
Mr. Vinod Sureka – Joint Chief Financial Officer	Mumbai – 400013. Contact No.: +91 022 -	vinod.sureka@alokind.com
Mr. Hitesh Kanani – Company Secretary & Compliance Officer	61787000	hitesh.kanani@alokind.com

**SHAREHOLDERS' INFORMATION**

**How can the RTA help the shareholders?**

They can assist the shareholders with any of the following:

- Procedural compliances related to processing the following service request:
  - Issue of duplicate certificate;
  - Claim from Unclaimed Suspense Account;
  - Replacement / Renewal / Exchange of securities certificate;
  - Endorsement;
  - Sub-division / Splitting of securities certificate;
  - Consolidation of Folios;
  - Consolidation of Securities certificate;
  - Transmission;
  - Transposition;

*Note: Pursuant to SEBI Circular No. SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2022/8 dated 25th January, 2022, the Company/RTA shall issue securities in demat form only while processing the above service requests.*

- Queries related to dividend, shareholding, etc.;
- Queries pertaining to transfer of dividend / shares to Investor Education and Protection Fund;
- Procedure for claiming dividend / shares from Investor Education and Protection Fund;
- Processing and updating investor holding;
- Processing change in /update of the KYC details of the investors for physical holdings like change of address/bank account details/ e-mail address / mobile/ nomination and PAN;
- Nomination Facility with respect to shares held in physical form and changes therein;
- Providing details of allotment and clarification on allotment;
- Processing of other requests, viz. recording of declaration w.r.t. exemption / lower tax rates for TDS on dividend/interest, revalidation and reissue of dividend and interest instruments;
- Execution and intimation of other corporate actions viz., ESOPs, Dividend payment, Stock split, Bonus issue and Merger/Demerger activities;
- Communication of Rights issue entitlements;
- Communication of Buyback, exit offer, takeover made by the company/ acquirer, and the procedure to be followed by investor in respect of these issues;
- Processing grievance received through e-mails, letters and through SCORES portal;
- Any other shares related matters.

**Timelines pertaining to various services provided by RTA:**

Sr. No.	Name of Service	Expected Timelines (number of days)
<b>A</b>	<b>Investor Service Request:</b>	
1	*Processing of transmission request (through Letter of Confirmation)	30
2	*Processing of issue of duplicate and replacement of security certificate request	30
3	*Processing of dematerialization request	15
4	Processing of remat request	30
5	*Processing of Transposition request (through Letter of Confirmation)	15
6	I. Processing of request for change in / updation of	
	a. Name	30
	b. Signature	30
	c. Nomination	30
	d. Contact details (Postal address with PIN, E-mail and Mobile number)	15
	e. Bank account details	15
	II. PAN	15
<b>B</b>	<b>Grievance Redressal</b>	
1	Providing response to the inquiries of the investors and Redressal of Grievance	30

\*Pursuant to [SEBI Circular No. SEBI/HO/MIRSD/MIRSD\\_RTAMB/P/CIR/2022/8 dated 25<sup>th</sup> January, 2022](#), the RTA shall issue securities in **demat form only** while processing the above service requests.

**Shareholders' Rights:**

As a shareholder in a company, you enjoy certain rights, which are as follows:

- to receive all the benefits/ material information declared by the Company;
- to receive shares on allotment or transfer as the case may be, in due time;
- to receive copies of the Annual Report containing the Balance Sheet, statement of Profit & Loss Account, Auditor's Report, etc.;
- to receive not less than 21 days' notice of general meetings;
- to actively participate in the AGM / EGM of the company & E-voting events so as to be a part of the decision making of the Company's business resolutions
- to receive dividends and other corporate benefits like rights, bonus, etc., once approved;

- to inspect various registers, minute books of general meetings and to receive copies thereof after complying with the requirements prescribed in applicable laws;
- to requisition an Extra-ordinary General Meeting in accordance with the provisions of the Act;
- to receive correspondence from the Company, RTA, Stock Exchange or SEBI, raise grievances, if any and seek a satisfactory solution within reasonable timelines;
- other rights as specified in the statutory enactments.

### **Shareholders' Responsibilities:**

Some of the responsibilities entrusted on shareholders are:

- to remain abreast of corporate developments, company specific information and take informed investment decision(s);
- to remain informed;
- to be vigilant;
- to participate and vote in general meetings;
- to be aware of relevant statutory provisions and ensure effective compliance therewith;
- to claim unclaimed dividend within time to avoid transfer of dividend/shares to IEPF Authority;
- neither to indulge in fraudulent and unfair trading in securities nor to act upon any unpublished price sensitive information;
- to contribute to the Greener Environment and accordingly register email addresses to enable the Company to send all documents/notices including Annual Reports electronically;
- to update PAN, address, bank account and other requisite details with the Company's RTA (in case shares are held in physical form) and with the concerned DP (in case shares are held in demat form);
- to register nominations, which would help the nominees to get the shares transmitted in their name without any hassle, etc.

### **What are the Do's and Don'ts for the Shareholders?**

#### **Do's**

- Encash dividend/Interest regularly to avoid transfer of unclaimed amount/underlying securities to IEPF.
- Follow up diligently and promptly if you have not receive allotment intimation/certificate / dividend / interest etc.
- Ensure that your PAN is registered with the RTA for all your folios.

- Ensure nomination is registered for all your securities to smoothen the transmission.
- Ensure that all KYC details viz. full postal address with PIN, mobile number, e-mail address etc. are updated to facilitate the RTA for sending communication.
- Ensure that correct and complete Bank details are recorded with RTA to facilitate prompt electronic credit of dividend / interest / redemption amounts and eliminate possibility of unclaimed amounts / underlying securities being transferred to IEPF.
- Promptly inform the RTA in writing and complete required formalities in case of loss of securities.
- Ensure that the documents provided for availing any investor service request are complete in all respects and keep copies of documents sent to the RTA.
- Monitor all corporate announcements pertaining to investments made.

### **Don'ts**

- Do not keep your folios without PAN.
- Do not keep your folios without nomination.
- Do not deal with unauthorized persons for any investor service requests such as change in / updation of address, e-mail address, mobile number and bank details.
- Do not share security details, viz. folio number, certificate number, distinctive number(s), bank details, specimen signature, KYC documents, etc. with unknown person(s).

## FREQUENTLY ASKED QUESTIONS

### 1. DEALING IN SECURITIES:

#### 1.1. What is considered as dealing in Securities of the Company?

Dealing in Securities means an act of subscribing, buying, selling or agreeing to subscribe, buy, sell or deal in the securities of the company by any person either as principal or agent.

#### 1.2. What are the types of accounts required for dealing in securities in demat form?

##### A. Beneficial Owner Account (B. O. Account) / Demat Account:

Demat account is an account opened with a Depository Participant (DP) in the name of the investor for holding the securities in digital or electronic form.

##### B. Trading Account:

Trading account is an investment account opened by the stock broker / brokerage firm in the name of the investor for buying and selling of securities in the stock market.

##### C. Bank Account:

Bank account is an account opened with any bank in the name of the investor and linked to the B. O. Account/Demat Account for debiting or crediting money with respect to buying and selling of securities in the stock market.

#### 1.3. Why bank account details is necessary at the time of BO account opening?

Bank account details are necessary for the protection of interest of investors. When any cash or non-cash corporate benefits such as rights or bonus or dividend is announced for a particular scrip, depositories provide to the concerned Company / RTA, the details of the investors, their electronic holdings as on record / book closure date for reckoning the entitlement of corporate benefit.

The disbursement of cash benefits such as dividend is credited directly by the Company / RTA to the beneficiary owner through the ECS (Electronic Clearing Service wherever available) facility or by issuing warrants on which bank account details are printed for places where ECS facility is not available. The bank account number is mentioned on the dividend and warrant to avoid any fraudulent misuse. The bank account details will be those which are mentioned in account opening form or modified details that had been intimated subsequently by the investor to the DP.

**1.4. Can an investor change the details of his bank account?**

Yes, however, the investor must inform the DP regarding change in the bank account and corresponding change in IFSC code while updating their bank account details with DP.

**1.5. Can multiple accounts be opened?**

Yes, an investor can open more than one account in the same name with the same DP and also with different DPs. For all the accounts, investor has to strictly comply with KYC norms including Proof of Identity, Proof of Address requirements as stipulated by SEBI and also provide PAN number. The investor has to show the original PAN card at the time of opening of demat account.

**1.6. Can an investor open a single account for securities owned in different ownership patterns such as securities owned individually and securities owned jointly with others?**

No. The Demat account must be opened in the same ownership pattern in which the securities are held in the physical form. e. g. if one share certificate is in the individual name and another certificate is jointly with somebody, two different accounts would have to be opened.

**1.7. Can an investor close his demat account with one DP and transfer all securities to another account with another DP?**

Yes, the investor can submit account closure request to his DP in the prescribed form. The DP will transfer all the securities lying in the account, as per the instruction, and close the demat account.

**1.8. What is Delivery Instruction Slip (DIS) and what precautions one should observe with respect to DIS?**

Delivery Instruction Slip (DIS) is issued by the Depository Participant (DP) and used by holder of securities to give instructions to DP to facilitate and authorize the sale or transfer of securities from his/her demat account to the demat account of the recipient of securities. DIS may be compared to a cheque book of a bank account but for your demat account transactions. The following precautions are to be taken in respect of DIS:

- Ensure that DIS numbers are pre-printed and DP takes acknowledgment for the DIS booklet issued to the investor.
- Ensure that the account number [client id] is pre-stamped or pre-printed.
- If the account is a joint account, all the joint holders have to sign the DIS. Instruction cannot be executed if all joint holders have not signed.
- Avoid using loose slips.
- Do not leave signed blank DIS with anyone viz., broker / sub-broker, DPs or any other person/entity.
- Keep the DIS book under lock and key when not in use.
- If only one entry is made in the DIS book, strike out the remaining space to prevent misuse.
- Personally fill in target account-id and all details in the DIS.
- If the DIS booklet is lost/stolen/not traceable, the same must be intimated to the DP, immediately, in writing. On receipt of such intimation, the DP will cancel the unused DIS of the said booklet.
- Do not issue / submit DIS without mentioning execution date.

**1.9. Is it possible to give delivery instructions to the DP over Internet and if yes, how?**

Yes, both NSDL and CDSL have launched this facility for delivering instructions to your DP over Internet, called SPEED-e and EASI respectively.



The facility can be used by all registered BOs after paying the applicable charges.

**1.10. What is Online Trading in securities?**

Online Trading in securities refers to the facility available to an investor for placing his own orders to buy and/or sell any securities using the online trading platform offered by the stock brokers. The orders so placed by the investor using online trading platform would be routed through the stock brokers. It facilitates the investor to trade in various financial instruments such as equities, mutual fund, commodities, etc.

**1.11. What is SARAL account opening form?**

SEBI vide its circular dated March 4, 2015 introduced SARAL account opening form for resident individuals trading in cash segment. Such individuals can open a Trading Account and Demat Account by filling up a simplified Account Opening Form termed as 'SARAL AOF'. This form is separately available with the intermediaries (stock broker / trading member) and can also be downloaded from the stock exchanges' and Depositories' website. The individual investors who open such account through SARAL AOF will also have the option to obtain other facilities, whenever they require, on furnishing of additional information as per prescribed regulations/circulars.

**1.12. What precautions an online investor must take?**

Investor trading online must take the following precautions:

- Default password provided by the stock broker / trading member must be changed before placing the order for the first time.
- The password should not be shared with others and password must be changed at periodic intervals.
- Obtain proper understanding of the manner in which the online trading software has to be operated.
- Get adequately trained before using the software.
- The online trading system has facility for order and trade confirmation after placing the orders.

- Sufficient amount of funds/ number of securities should be available in the bank/demat account for honouring the order(s) placed.

**1.13. What are the other safety measures an online investor must observe?**

- Avoid placing order(s) from shared PCs/through cybercafés.
- Log out after having finished trading to avoid misuse.
- Do not click “remember me” option while signing-in from shared PCs/through cyber cafés.
- Do not leave the terminal unattended while “signed-in” in the trading system.
- Protect your personal computer against viruses by placing a firewall and an antivirus solution.
- Do not open e-mails from people you do not know.

**1.14. What are the Do's and Don'ts while dealing in securities market?**

**Do's**

- Transact only through stock exchanges.
- Deal only through SEBI registered intermediaries.
- Complete all the required formalities of opening an account properly (client registration, client agreement forms, etc.).
- Ask for and sign “Know Your Client Agreement”, copy of Rights & Obligations of stock broker, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet / wireless technology based trading), Rights and Obligations of Beneficial Owner and DP as prescribed by SEBI and Depositories, Uniform Risk Disclosure Documents (for all segments / exchanges), Guidance Note detailing Do's and Don'ts for trading on stock exchanges or any other document which has been executed between stock broker, sub-broker and client, voluntarily.

(Read and properly understand the risks associated with investing in securities/derivatives before undertaking transactions.)

- Assess the risk-return profile of the investment as well as the liquidity and safety aspects before making your investment decision.
- Ask all relevant questions and clear your doubts with your broker before transacting.
- Invest based on sound reasoning after taking into account all publicly available information and fundamentals.
- Beware of the false promises and to note that there are no guaranteed returns on investments in the stock market.
- Give clear and unambiguous instructions to your broker/sub-broker/DP.
- Be vigilant in your transactions.
- Insist on a contract note for your transaction.
- Verify all details in the contract note, immediately on receipt.
- Always settle dues through the normal banking channels with the market intermediaries.
- Crosscheck details of your trade with details as available on the exchange website.
- Scrutinise minutely both, the transaction and the holding statement that you receive from your DP.
- Keep copies of all your investment documentation.
- Handle DIS Book issued by DPs carefully.
- Insist that the DIS numbers are pre-printed and your account number (client id) be pre-stamped or pre-printed.
- In case you are not transacting frequently, make use of the freezing facilities provided for your demat account.

- Pay the margins required to be paid in the time prescribed.
- Deliver the shares in case of sale or pay the money in case of purchase within the time prescribed.
- Participate in general meetings either personally or through proxy and exercise vote through e-voting.
- Be aware of your rights and responsibilities.
- Make sure correct mobile number and email ID is entered by the broker/DP in exchange/depository records.
- Check SMS of transaction done in Trading Account. Exchanges use to send SMS of transactions to your mobile number.
- In case of complaints, approach the right authorities for redressal in a timely manner.
- Make sure your account is being settled by the broker as per the Running Account Authorisation given by you at the time of opening of account or any subsequent change therein.

### **Don'ts**

- Don't undertake off-market transactions in securities.
- Don't deal with unregistered intermediaries.
- Don't fall prey to promises of unrealistic returns.
- Don't invest on the basis of hearsay and rumours; verify before investing.
- Don't forget to take note of risks involved in the investment.
- Don't be misled by rumours circulating in the market.
- Don't blindly follow media reports on corporate developments, as some of these could be misleading.
- Don't follow the herd or play on momentum – it could turn against you.

- Don't be misled by so called hot tips.
- Don't try to time the market.
- Don't hesitate to approach the proper authorities for redressal of your doubts/grievances.
- Don't leave signed blank DISs of your demat account lying around carelessly or with anyone.
- Do not sign blank DIS and keep them with DP or broker to save time. Remember your carelessness can be your peril.
- Do not provide any Power of Attorney to operate bank or demat account to your broker unless it is as per the format prescribed by SEBI. Broker cannot add any other clause in the Power of Attorney than what is prescribed by SEBI.

## **2. DEMATERIALIZATION OF SHARES:**

### **2.1. What is Dematerialization of shares?**

Dematerialization is the process by which physical certificates of an investor are converted to an equivalent number of securities (i.e. shares, bonds etc.) in electronic form and credited into the investor's demat account maintained by him with his Depository Participant (DP).

### **2.2. What is an ISIN?**

ISIN (International Securities Identification Number) is a unique 12 digit alpha numeric identification number allotted for a security (Example - INE270A01029). Equity-fully paid up, equity-partly paid up, equity with differential voting /dividend rights issued by the same issuer will have different ISINs.

### **2.3. Why dematerialize shares?**

In terms of Regulation 40 of the SEBI Listing Regulations and vide [SEBI Circular No. SEBI/HO/MIRSD/MIRSD\\_RTAMB/P/CIR/2022/8 dated 25<sup>th</sup> January, 2022](#), service request for effecting the following:

- Issue of duplicate certificate;
- Claim from Unclaimed Suspense Account;
- Replacement / Renewal / Exchange of securities certificate;
- Endorsement;
- Sub-division / Splitting of securities certificate;
- Consolidation of Folios;
- Consolidation of Securities certificate;
- Transmission;
- Transposition;

shall not be processed unless the securities are held in the dematerialized form with a depository.

In view of the same and to eliminate all risks associated with physical shares and for ease of portfolio management, shareholders holding shares in physical form are requested to consider converting their holdings to dematerialized form. However, shareholders can continue to hold shares in physical form.

#### **2.4. What are the benefits of Dematerialization?**

- Convenient mode of holding shares, especially if you are holding shares of many companies.
- Elimination of risks associated with physical certificates such as fake securities, delays, thefts, etc.
- Lower stamp duty on transfer of shares.
- Immediate transfer/trading of securities.
- Faster settlement cycle.
- Facilitates direct credit of shares in case of allotment under IPO, Rights, Bonus, Split, etc. and direct credit of dividend to shareholders designated account.
- SMS alert facility.
- Periodic status reports and information available on internet.
- Saving of time - Change in address / bank account particulars etc. recorded with DP gets registered electronically with all companies in

which the investor holds securities. Thus eliminating the need to correspond with each of the companies separately. Further, transmission of securities (in the event of death of the shareholder) is done by the DP, eliminating the need to correspond with all companies and following different procedures laid by them.

- Ease in portfolio monitoring.
- Ease in pledging the shares.
- Holding investments in equity and debt instruments in a single account.
- No odd lot problem, even one share can be traded.
- Nomination facility.

#### **2.5. What is the procedure for Dematerialization of shares?**

- Shareholders shall open a Beneficiary Account with a DP registered with SEBI and with any one of the Depositories i.e., NSDL or CDSL.
- Submit the Dematerialization Request Form (DRF) as given by DP duly filled in and signed by all the shareholders, along with share certificate(s) / Letter of Confirmation (LOC) issued by RTA and requisite documents. Ensure that the names and order of names as per certificate(s) matches with the names and order of the names as per the DP account.
- Obtain an acknowledgement from the DP on handing over the share certificate(s).
- DP intimates the relevant Depository of such requests through the system.
- On receipt of DRF as above, DP will generate a Dematerialization Request Number (DRN) and the said DRN is electronically transmitted to the Company / Registrar and Transfer Agent (RTA) through the concerned Depository.
- Simultaneously, DP will send the physical certificate(s) / LOC with the original DRF to the Company/RTA for verification and confirmation.

- The Company/RTA, on receipt of DRF and share certificate(s) / LOC as above, will process the said request and if the DRF is found to be in order {viz. verification of signature and certificate(s)}, will electronically confirm the said request.
- The Company's RTA, after dematerializing the certificate(s), updates accounts and informs concerned Depository regarding completion of dematerialization. Depository updates its accounts and informs the DP.
- The DP on receipt of such confirmation, will update the demat account of the investor.
- As per regulations in force presently, the dematerialization process should be completed within 15 days from the date of receipt of demat request at RTA.

**2.6. How to get dividend on dematerialized shares? Will such shareholders be eligible for receiving Annual Report every year and also to attend General Meetings?**

Dividend of shareholders holding shares in dematerialized form will be credited through Electronic Mode to the bank accounts as opted by them while opening the Beneficiary Accounts with the DP.

If the shareholders are holding shares in physical form, dividend warrants will be dispatched to them with the bank account details, as furnished by the Depositories, printed thereon.

The Government of India aims at reducing paper consumption thereby contributing to a greener environment through Green Initiative. In this regard, the Ministry of Corporate Affairs ('MCA') vide its Circular Nos. 17/2011 dated 21<sup>st</sup> April, 2011 and 18/2011 dated 29<sup>th</sup> April, 2011 commenced the "Green Initiative in Corporate Governance" thereby allowing Companies to issue Annual Reports and other documents to the shareholders in electronic mode.

Holding shares in dematerialized form will not affect the rights of the Shareholders. They, as shareholders of the Company, will be entitled to receive Annual Report through electronic mode via email, attend General Meetings and participate and vote there at to the extent of their entitlement.



In case, they wish to get a physical copy of the Annual Report of the Company, they may send a request to the Company by quoting their DP ID and Client ID or Folio Number and the Company will send the same at free of cost.

**2.7. Whom should a shareholder inform change in address, bank account details etc. in respect of shares held in demat form?**

Since shareholders demat account is maintained by their DP, all request/communication regarding change in address, bank account details, ECS mandate, registration of nomination etc. should be addressed by the shareholders to the DP directly.

**2.8. Why the Company cannot take on record bank details in case of Dematerialized shares?**

As per the Depository Regulations, the Company is obliged to pay dividend on dematerialized shares as per the bank account details furnished by the concerned Depository. Therefore, investors are requested to keep their bank particulars updated with their concerned DP.

**2.9. Is pledge of dematerialized shares possible?**

Yes, shares held in dematerialized form can be pledged as security for the purpose of availing loan/credit facility from a bank or as collateral for availing finance from other financial institutions, subject to complying with the terms and conditions prescribed by the DP.

**2.10. Who will receive the corporate benefits on the pledged securities?**

The securities pledged are only blocked in the account of pledger (investor) in favour of the pledge (lender). The pledger would continue to receive all the corporate benefits.

**2.11. Is it mandatory to provide mobile number, e-mail address etc. for holding shares in dematerialized form?**

Yes. Pursuant to various circulars issued by Stock Exchanges and Depositories from time to time, the client i.e. investor is required to mandatorily provide/update KYC attributes viz. Name, Address, PAN, Mobile Number, E-mail Id and Bank details, for holding shares in dematerialized form.

**2.12. Why the Company cannot take on record bank details in case of dematerialized shares?**

As per the applicable Depository Regulations, the Company is obliged to pay dividend on dematerialised shares as per the bank account details furnished by the concerned Depository. Therefore, investors are requested to keep their bank particulars updated with their concerned DP who will furnish such details to the concerned depository for updating records of the Depository.

**Recommendations to the Shareholders/Investors**

Open Demat Account and dematerialise your shares. Investors should convert their physical holdings of securities into demat holdings, as the physical transfer of securities is prohibited.

**Monitor holdings regularly**

Demat account should not be kept dormant for long period of time. Periodic statement of holdings should be obtained from the concerned DP and holdings should be verified. Where the investor is likely to be away for a long period of time and where the securities are held in electronic form, the investor can make a request to the DP to keep the account frozen so that there can be no debit to the account till the instruction for freezing the account is cancelled by the investor.

**2.13. Can odd lot shares be dematerialized?**

Yes, odd lot share certificates can also be dematerialized.

**2.14. Do dematerialized shares have distinctive numbers?**

Dematerialized shares do not have any distinctive numbers. These shares are fungible, which means that all the holdings of a particular security will be identical and interchangeable.

**2.15. What is SMS alert facility?**

NSDL and CDSL provide free SMS Alert facility for demat account holders whereby the investors can receive alerts for debits and credits in their demat accounts. Under this facility, investors can receive alerts, a day after such debits (transfers)/credits take place. These alerts are sent to those account holders who have provided their mobile numbers to their DPs.

**3. REMATERIALIZATION OF SHARES:**

**3.1. What is rematerialization of shares?**

It is the processes through which shares held in demat form are converted into physical form in the form of share certificate(s).

**3.2. What is the procedure for Rematerialization of shares?**

- Shareholders should submit the duly filled in Rematerialization Request Form (RRF) to the concerned DP.
- DP intimates the relevant Depository of such request through the system.
- DP submits RRF to the Company's RTA.
- Depository confirms rematerialization request to the Company's RTA.
- The Company's RTA updates accounts and prints certificate(s) and informs the Depository.
- Depository updates the Beneficiary Account of the shareholder by deleting the shares so rematerialized.
- Share certificate(s) is despatched to the shareholder by Company's RTA within 30 days from the date of receipt of RRF.

**4. INFORMATION FOR SHAREHOLDERS HOLDING SHARES IN PHYSICAL FORM:**

**4.1. Is submission of Permanent Account Number (PAN), KYC details and Nomination mandatory for holder of physical shares?**

SEBI has vide Circular No. [SEBI/HO/MIRSD/MIRSD\\_RTAMB/P/CIR/2021/655](#) dated 3rd November, 2021 read with [SEBI/HO/MIRSD/MIRSD\\_RTAMB/P/CIR/2021/687](#) dated 14<sup>th</sup> December, 2021 read with [SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2023/37](#) dated 16<sup>th</sup> March, 2023 has made it mandatory for the shareholders holding securities in physical form to furnish PAN, KYC details and Nomination to the RTA of the Company.

In view of the above, it is mandatory for all the shareholders holding shares in physical form to furnish following documents/ details to RTA:

- PAN
- Nomination
- Contact Details
- Bank Account Details
- Specimen signature

Shareholders shall submit Form ISR-1 to RTA for updating PAN and other KYC details.

The folios in which PANs are not linked with Aadhar numbers as on the notified cut-off date of 31<sup>st</sup> March, 2023 or any other date as may be specified by the Central Board of Direct Taxes (CBDT), shall be frozen.

All shareholders holding shares in physical form shall register the postal address with PIN for their corresponding folio numbers. It shall be mandatory for the shareholders holding shares in physical form to provide mobile number. We encourage the shareholders to register e-mail ID also to avail the online services. The shareholder can register/update the contact details through Form ISR - 1.

Shareholders shall use Form SH-13 and SH-14 for declaration of nomination and cancellation or variation in nomination respectively. However, in case shareholder wants to opt-out of nomination, Form ISR-3 shall be filed. In case of cancellation of nomination by the shareholder through Form SH-14, Declaration to Opt-out in Form ISR-3 shall be mandatorily provided by the shareholder.

All shareholders holding shares in physical form shall register the bank account details for their corresponding folio numbers. Upon processing of request for registration/updation of bank details through Form ISR - 1, the RTA shall, suo-moto, generate request to the Company's bankers to pay electronically, all the moneys of / payments to the holder that were previously unclaimed / unsuccessful.

All shareholders holding shares in physical form shall register the specimen signature for their corresponding folio numbers. To register/update the specimen signature, the shareholder may refer Miscellaneous Section in this Referencer.

**Forms for raising Service Requests:**

Registering/Updating the KYC details:		
S. No.	Particulars	Form
1.	PAN	ISR-1
2.	Nominee Details	SH-13, SH-14, ISR-3 (as applicable)
3.	Contact details (postal address, mobile number and e-mail)	ISR-1
4.	Bank details	ISR-1
5.	Signature	ISR-1
Processing of various services requests		
S. No.	Particulars	Form
1.	Issue of Duplicate securities certificate	ISR-4
2.	Replacement / Renewal /Exchange of securities certificate	ISR-4
3.	Consolidation of securities certificate	ISR-4
4.	Sub-division / Splitting of securities certificate	ISR-4
5.	Consolidation of folios	ISR-4
6.	Endorsement	ISR-4
7.	Change in the name of the holder	ISR-4
8.	Claim from Unclaimed Suspense Account and Suspense Escrow Demat Account	ISR-4
9.	Transposition	ISR-4
10.	Transmission	ISR-5

The shareholders can download the aforementioned forms from the "Downloads" section under the "Investor Relations" tab on the Company's website, [www.alokind.com](http://www.alokind.com).

The shareholders are requested to note that the folios wherein any one of the abovementioned documents / details are not furnished or made available on or before 31<sup>st</sup> December, 2023 or such other date as may be notified by SEBI shall be frozen by the RTA.

**Shareholders will not be eligible to lodge their grievance or avail service request from the RTA unless PAN, KYC and Nomination documents/details are submitted.**

**4.2. Is there any specific procedure for resolution of various service request of the shareholder? Which are the service requests of the shareholder that are covered?**

Yes. SEBI, vide various circulars has prescribed the specific procedure to be followed by the Company/Company's RTA for addressing following service requests of shareholder:

- i. Issue of duplicate securities certificate;
- ii. Claim from Unclaimed Suspense Account/ Suspense Escrow Demat Account;
- iii. Replacement/Renewal / Exchange of securities certificate;
- iv. Endorsement;
- v. Sub-division / Splitting of securities certificate;
- vi. Consolidation of securities certificates/folios;
- vii. Transmission;
- viii. Transposition;

**Pursuant to the SEBI circulars, Company shall issue the securities in dematerialized form only while processing the service request.**

**4.3. What are the various modes for providing documents/details by shareholders for service requests?**

The shareholder can provide the documents/details by any one of the following mode:-

- i. Through "In-Person Verification" (IPV)
- ii. Through Post - Hard copies of self-attested documents
- iii. Through electronic mode with e-sign - by way of email or through service portal of the RTA wherein the documents furnished shall have e-sign of the shareholder.

**4.4. Is there any standard procedure for addressing the aforesaid service request(s) of shareholder?**

The standard procedure for addressing the services request(s) of investor is enumerated below:

The shareholder /claimant shall submit duly filled form ISR-4 along with relevant supporting documents through modes specified in the aforesaid Clause 4.3, to the Company/ Company's RTA. The said Form may be

downloaded from the Company's website, [www.alokind.com](http://www.alokind.com) under the section "Investor Relations".

The Company's RTA, on receipt of the valid documents and after due scrutiny, shall issue Letter of Confirmation to the shareholder in lieu of share certificate lodged for consolidation. The shareholder has to submit the Letter of Confirmation within 120 days from date of the Letter of Confirmation with his/her Depository Participant for demat of shares. If the Company's RTA does not receive the demat request within 120 days of the date of Letter of Confirmation, the shares shall be transferred to the Suspense Escrow Demat account of the Company.

However, shareholder is requested to follow clauses covered elsewhere in this Referencer for below mentioned shareholders request:-

Service Request(s)	Section
Transposition	Refer section on 'Transfer/Transmission/Transposition of Shares'
Issue of duplicate share certificate	Refer Miscellaneous Section
Consolidation of securities certificates/ folios	Refer Miscellaneous Section

### **Recommendations to Shareholders / Investors:**

#### **Deal with registered intermediaries**

Investors should transact through a registered intermediary who is subject to regulatory discipline of SEBI, as it will be responsible for its activities and in case the intermediary does not act professionally, investors can take up the matter with SEBI/stock exchanges.

#### **Obtain documents relating to purchase and sale of securities**

A valid contract note / confirmation memo should be obtained from the broker/sub- broker, within 24 hours of execution of purchase or sale of securities and the contract note should contain order number, order time, trade number, trade time, security/contract description, bought and sold quantity, gross rate, brokerage, goods and services tax and securities transaction tax etc. In case the investors have any doubt about the details contained in the contract note, they can avail the facility provided by BSE/NSE to verify the trades on BSE/NSE websites.

It is recommended that this facility be availed in respect of a few trades on random basis, even if there is no doubt as to the authenticity of the trade/transaction.

**4.5. What would happen if I do not provide my mobile number and email id to RTA in respect of physical folios held by me?**

SEBI vide circular dated circular dated 16<sup>th</sup> March, 2023 has mandated investors to provide mobile number in respect of physical folios. In the absence of mobile number, the folios shall be frozen by the RTA with effect from October 01, 2023.

However, investors have a choice to provide email in addition to updation of mobile number in respect of physical folios.

**4.6. What will be the effect on shares in frozen folios?**

The shareholder holding shares in frozen folio will not be eligible to lodge their grievances or avail service request from the RTA unless PAN, KYC and Nomination documents/details are submitted.

The shareholders holding shares in frozen folio shall be:

- eligible to lodge grievance or avail service request from the RTA only after furnishing the complete documents / details as mentioned in point 4.1 above.
- eligible for any payment including dividend, interest or redemption payment in respect of such frozen folios, only through electronic mode with effect from 1<sup>st</sup> April, 2024. An intimation will be sent from the RTA / Company to such shareholders that payment is due and shall be made electronically upon complying with the requirements mentioned above in point 4.1.

Further, such shares will be referred by the RTA / Company to the administering authority under the Benami Transactions (Prohibitions) Act, 1988 and or Prevention of Money Laundering Act, 2002, if they continue to remain frozen as on 31<sup>st</sup> December, 2025.

**4.7. How to revert the frozen folios to normal status?**

The RTA shall revert the frozen folios to normal status upon:



- Receipt of all the documents / details mentioned above in point 4.1.
- Dematerialization of all the shares in such folios.

#### **4.8. Is it compulsory to link PAN and Aadhar?**

Yes, it is compulsory for all the shareholders holding securities either in physical form or in dematerialized form to link PAN with Aadhaar number by 31<sup>st</sup> March, 2023\* or any other date as may be notified by the Central Board of Direct Taxes.

Also as per SEBI circular SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2023/37 dated 16<sup>th</sup> March, 2023, the folios in which PAN is / are not valid as on the notified cut-off date of March, 31, 2023 or any other date as may be notified by the CBDT, shall also be frozen.

\* The timeline may vary based on the notifications issued by the CBDT.

#### **4.9. How to link PAN and Aadhar?**

You can link your PAN with Aadhar by following process:

- Open the Income Tax e-filing portal - <https://incometaxindiaefiling.gov.in/>
- Register on it (if not already done). Your PAN will be your user id.
- Log in by entering the User ID, password and date of birth.
- A pop up window will appear, prompting you to link your PAN with Aadhar. If not, go to 'Profile Settings' on Menu bar and click on 'Link Aadhar'.
- Details such as name date of birth and gender will already be mentioned as per the PAN details.
- Verify the PAN details on screen with the ones mentioned on your Aadhar. Please note that if there is a mismatch, you need to get the same corrected in either of the documents.
- If the details match, enter your Aadhar number and click on the "link now" button.
- A pop-up message will inform you that your Aadhar has been successfully linked to your PAN
- You may also visit <https://www.utiitsl.com/> or <https://www.egov-nsdl.co.in/> to link your PAN and Aadhar.

## **5. TRANSFER / TRANSMISSION / TRANSPOSITION OF SHARES:**

### **5.1. How to transfer shares in Physical Form?**

**Pursuant to the provisions of Regulation 40 of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 and vide SEBI Circular No. SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2022/8 dated 25<sup>th</sup> January, 2022 shareholders may note that requests for effecting transfer of shares shall be carried out in dematerialized form only.**

Hence, transfer of shares in Physical Form shall not be permitted. In view of the same, shareholders holding shares in physical form are requested to consider converting their holdings to dematerialized form with a Depository Participant for effecting any transfer of shares and to eliminate all risks associated with physical shares and for ease of portfolio management.

### **5.2. How to transfer shares in Electronic Form?**

Procedure for transferring shares in electronic form:

- Shareholders are required to fill the DIS (Delivery Instruction Slip) and submit it to the Depository Participant.
- The Depository Participant forwards the DIS request to the Depository.
- The Depository will transfer the shares of existing shareholder to the demat account of transferee.

For further details with respect to transferring shares in electronic form the shareholders are requested to contact the respective Depository Participant.

### **5.3. How to get shares registered which are received by way of gift?**

Any gift of shares can be effected in dematerialized form only through off-market delivery instruction slip.

### **5.4. What is transmission of dematerialized securities?**

Transmission is the process by which securities of a deceased account holder are transferred to the account of his legal heirs / nominee. Process of transmission in case of dematerialized holdings is more convenient as the transmission formalities for all securities held in a demat account can be

completed by submitting documents to the DP, whereas in case of physical securities the legal heirs/nominee/surviving joint holder has to independently correspond with each company in which securities are held.

**5.5. What is the procedure for getting shares in the name of surviving shareholder(s), in case of joint holding of physical shares, in the event of death of one shareholder?**

In the event of death of one of the joint holders, the shares will be transmitted to the surviving holder (s) on submission of following documents:

- a. Duly signed transmission request Form ISR - 5 by the surviving holder(s) along with KYC details/documents
- b. Original death certificate or copy of death certificate attested by the surviving holder(s) subject to verification with the original or copy of death certificate duly attested by a notary public or by a gazetted officer;
- c. Original share Certificates
- d. Self-attested copy of the Permanent Account Number card of the surviving holder(s) issued by the Income Tax Department and the address proof of the surviving holder(s).
- e. Such other documents as stated in the SEBI Circular as may be issued from time to time

The Company's RTA, on receipt of the valid documents and after due scrutiny, will delete the name of the deceased shareholder from its records and issue Letter of Confirmation. The surviving shareholder has to submit the Letter of Confirmation within 120 days from the date of the said letter, with their Depository Participant for demat of shares. If the Company's RTA does not receive the demat request within 120 days of the date of Letter of Confirmation, the shares shall be credited to the Suspense Escrow Account of the Company.

For shares held in demat form, shareholders / investors are advised to approach their DP concerned.

**5.6. What is the procedure for getting the shares held in single name having nomination transmitted in the name of Nominee?**

The following documents are required to be submitted by the nominee:

- a. Duly signed transmission request form by the nominee alongwith KYC details/documents;

- b. Original death certificate or copy of death certificate attested by the nominee subject to verification with the original or copy of death certificate duly attested by a notary public or by a gazetted officer;
- c. Self-attested copy of the Permanent Account Number card of the nominee, issued by the Income Tax Department.
- d. Original Securities Certificate.
- e. Such other documents as stated in the SEBI Circular as may be issued from time to time.

The Company's RTA, on receipt of the valid documents and after due scrutiny shall issue Letter of Confirmation. The nominee has to submit the Letter of Confirmation within 120 days from the date of the said letter, with their Depository Participant for demat of shares. If the Company's RTA does not receive the demat request within 120 days of the date of Letter of Confirmation, the shares shall be credited to the Suspense Escrow Account of the Company.

**5.7. What is the procedure for getting shares in the name of legal heir(s) / claimant(s) in the event of death of the sole shareholder without nomination?**

The following documents needs to be submitted by the legal heir(s) / claimant(s):

(A) Where the value of securities to be transmitted is more than rupees five lakhs per Company in case of securities held in physical mode, and more than rupees fifteen lakhs per beneficial owner in case of securities held in dematerialized mode, as on date of submission of complete documentation, the securities would be transmitted to the legal heir(s)/claimant(s) on submission of the following documents:

- a. duly signed transmission request form ISR-5 by the legal heir(s)/claimant(s);
- b. original share certificate
- c. original death certificate or copy of death certificate attested by the legal heir(s)/claimant(s) subject to verification with the original or copy of death certificate duly attested by a notary public or by a gazetted officer;
- d. self-attested copy of the Permanent Account Number card of the legal heir(s)/claimant(s), issued by the Income Tax Department along with proof of address

- e. a notarized affidavit from all legal heir(s)/claimant(s) made on non-judicial stamp paper of appropriate value, to the effect of identification and claim of legal ownership to the securities.
- However, in case the legal heir(s)/claimant(s) are named in the Succession Certificate or Probate of Will or Will or Letters of Administration as may be applicable in terms of Indian Succession Act, 1925 (39 of 1925) or Legal Heirship Certificate or its equivalent certificate issued by a competent Government Authority, an affidavit from such legal heir(s)/claimant(s) alone shall be sufficient;
- f. copy of Succession Certificate or Probate of Will or Will or Letters of Administration or Court Decree as may be applicable in terms of Indian Succession Act, 1925 (39 of 1925) or Legal Heirship Certificate or its equivalent certificate issued by a competent Government Authority, attested by the legal heir(s)/claimant(s) subject to verification with the original or duly attested by a notary public or by a gazetted officer:
- In cases where a copy of Will is submitted, the same shall be accompanied with documents as stated in points a to e above and a notarized indemnity bond from the legal heir(s) /claimant(s) to whom the securities are to be transmitted, in the format specified.
  - In cases where a copy of Legal Heirship Certificate or its equivalent certificate issued by a competent Government Authority is submitted, the same shall be accompanied with documents as stated in points a to e above and
    - a notarized indemnity bond from the legal heir(s) /claimant(s) to whom the securities are to be transmitted, in the format specified.
    - No Objection from all non-claimants, stating that they have relinquished their rights to the claim for transmission of securities; in the format specified.
- g. Such other documents as stated in the SEBI Circular as may be issued from time to time
- (B) Where the value of securities to be transmitted is upto rupees five lakhs per Company in case of securities held in physical mode, and upto rupees fifteen lakhs per beneficial owner in case of securities held in dematerialized mode, as on date of submission of complete documents, the securities would be transmitted to the legal heir(s)/claimant(s) on submission of the documents mentioned in (a) to (f) above in clause

5.7(A). However, with respect to point (f), in the absence of Succession Certificate or Probate of Will or Will etc. the legal heir(s) / claimant(s) may submit the following documents:

- i. a notarized indemnity bond made on non-judicial stamp paper of appropriate value, indemnifying the Share Transfer Agent/ listed entity;
- ii. no objection certificate from all legal heir(s) stating that they do not object to such transmission or copy of family settlement deed executed by all the legal heirs, duly attested by a notary public or by a gazetted officer;
- iii. Such other documents as stated in the SEBI Circular as may be issued from time to time.

The Company's RTA, on receipt of the valid documents and after due scrutiny, shall issue Letter of Confirmation. The legal heir (s)/claimant has to submit the Letter of Confirmation within 120 days from the date of the said letter, with their Depository Participant for demat of shares. If the Company's RTA does not receive the demat request within 120 days of the date of Letter of Confirmation, the shares shall be credited to the Suspense Escrow Account of the Company.

**5.8. What is the procedure for transposition i.e. Change in order of names?**

**Pursuant to SEBI Circular No. [SEBI/HO/MIRSD/MIRSD\\_RTAMB/P/CIR/2022/8 dated 25<sup>th</sup> January, 2022](#) shareholders may note that requests for effecting transposition of shares shall be carried out in dematerialized form only.**

Share certificate(s) along with a request letter in Form ISR-4 duly signed by all the joint holders and copies of their PAN Cards, duly attested, shall be sent to the Company's RTA for change in order of names, known as 'transposition'. Transposition can be done only for the entire holdings under a folio and therefore, request for transposition of part holding cannot be accepted by the Company/RTA.

The Company's RTA, on receipt of the valid documents and after due scrutiny, shall effect the change in order of names and issue Letter of Confirmation to the shareholder(s). The shareholder has to submit the Letter of Confirmation within 120 days from the date of the said letter, with their Depository Participant for demat of shares. If the Company's RTA does not receive the demat request within 120 days of the date of Letter of

Confirmation, the shares shall be credited to the Suspense Escrow Account of the Company.

For shares held in demat form, shareholders are advised to approach their DP concerned for transposition of names.

## **6. UNCLAIMED SHARES UNDER LISTING REGULATIONS:**

### **6.1. What are the regulatory provisions and procedure governing unclaimed shares?**

As per Regulation 39 of the Listing Regulations read with Schedule VI thereto:

- a) Shares issued in dematerialised form pursuant to a public issue or any other issue, which remain unclaimed, shall be credited to a demat suspense account opened by the Company for this purpose with one of the depository participants.
- b) Shares issued in physical form pursuant to a public issue or any other issue, which remain unclaimed, shall be transferred into one folio in the name of "Unclaimed Suspense Account" and shall be dematerialised with one of the depository participants.

Any corporate benefits accruing on such shares, viz., bonus shares, split, etc., shall also be credited to such demat suspense account or unclaimed suspense account, as applicable, for a period of seven years and thereafter shall be transferred in accordance with the provisions of applicable laws.

The voting rights on such unclaimed shares shall remain frozen till the rightful owner claims the shares.

### **6.2. What is the status of compliance by the Company with regard to these provisions?**

In terms of Regulation 34 of the Listing Regulations read with Schedule V thereto, details relating to aggregate number of shareholders and the outstanding shares in the demat suspense account/unclaimed suspense account (accounts) lying at the beginning of the year, number of shareholders who had approached the Company for transfer of shares from said accounts during the year, number of shareholders to whom the said unclaimed shares were transferred from the said accounts during the year and the aggregate number of shareholders and the outstanding shares in the accounts lying at

the end of the year, have been set out under "Unclaimed shares lying in the Suspense Account" in the Annual Report.

## **7. NOMINATION FACILITY:**

### **7.1. What is nomination facility and to whom is it more useful?**

Nomination refers to the act of nominating a person in whose name the shares would vest in the event of unfortunate death of the nominator (shareholder).

Section 72 of the Act provides the facility of nomination to shareholders. This facility is mainly useful for individuals holding shares in sole name. In the case of joint holding of shares by individuals, nomination will be effective only in the event of death of all joint holders.

The shareholders can download the nomination forms from the website of the Company at <https://www.alokind.com/shareholder.html>.

### **7.2. What are its advantages?**

Notwithstanding anything contained in any other law or any testamentary deposition or otherwise, in respect of the shares, where a nomination has been made in accordance with the provisions of Companies Act, on the death of the shareholder, (or in case of joint holdings, on the death of all the joint holders), the Nominee shall become entitled to the rights in relation to such shares held by the deceased shareholder(s), to the exclusion of all other persons unless the nomination is revoked. This facility is mainly useful for individuals holding shares in single name.

### **7.3. What is the procedure for appointing a Nominee?**

Shareholders, especially those who are holding shares in single name, are advised to avail of the nomination facility by submitting the prescribed forms as per the Act to the Company's RTA. Shareholders shall use [Form SH-13](#) and [SH-14](#) for declaration of nomination and change in nomination respectively. However, in case shareholder wants to opt-out of nomination, Form ISR-3 shall be filed. In case of cancellation of nomination by the shareholder through [Form SH-14](#), Declaration to Opt-out in [Form ISR-3](#) shall be mandatorily provided by the shareholder. On receipt of the request for registration of nomination, the RTA will register the same by allotting a registration number. The duplicate copy of the nomination form will be returned to the



shareholder(s) indicating the registration number and the date of registration of nomination. The said forms may be downloaded from the Company's website, [www.alokind.com](http://www.alokind.com) under the section "Investor Relations".

However, if shares are held in dematerialized form, nomination has to be registered with the concerned DP directly, as per the format prescribed by the DP.

**7.4. How does the Nomination for shares held in dematerialized form work?**

In case the shares are held in dematerialized form, the nomination has to be recorded by the DP, who is maintaining the demat account. Once the nominee details are updated in shareholders demat account, the individual will be nominee for all the shares available in shareholders demat account. There is no need to separately inform each company of the demat account nominee.

**7.5. Is submission of Nomination details mandatory for Trading Account?**

As per [SEBI Circular No. SEBI/HO/MIRSD/POD-1/P/CIR/2023/158 dated September 26, 2023](#), submission of 'choice of nomination' for trading accounts has been made voluntary.

**7.6. Is submission of Nomination details mandatory for Demat Account?**

As per [SEBI Circular No. SEBI/HO/MIRSD/POD-1/P/CIR/2023/193 dated December 27, 2023](#), demat account which do not have nomination registered by June 30, 2024 or such other date notified by SEBI, shall be frozen.

**7.7. Who can appoint a Nominee and who can be appointed as a Nominee?**

Nomination can be made only by individuals holding beneficial accounts either singly or jointly. In case of joint holding, joint holders together have to appoint the nominee. An individual having capacity to contract only can be appointed as a nominee. While an individual can be appointed as a nominee, a trust, society, body corporate, partnership firm, Karta of HUF or a power of attorney holder will not be nominee(s). Minor can, however, be appointed as a Nominee.

**7.8. Can a nomination once made be revoked / varied? What is the effect of nomination upon transfer of shares?**

A nomination once made can be cancelled by submitting a Form SH -14 along

with Form ISR-3 declaration for opt out to the respective RTA for effecting the changes.

A nomination once made can be modified by submitting a fresh nomination form. Investor will have to fill Form SH -14 and submit it to the respective RTA for effecting the changes.

**7.9. Are the joint holders deemed to be Nominees to the shares?**

Joint holders are not nominees; they are joint holders of the relevant shares having joint rights on the same. In the event of death of any one of the joint holders, the surviving joint holder(s) of the shares is/are the only person(s) recognised under law as holder(s) of the shares. Surviving Joint holder(s) may appoint a nominee.

**7.10. Does the shareholder have to send the share certificate(s) along with the nomination form?**

No.

**7.11. Is nomination form required to be witnessed?**

Witness shall not be required if the nomination and declaration form is signed under wet signature of the security holder(s). However, if the security holder(s) affixes thumb impression (instead of wet signature), then witness signature shall be required.

**7.12. What rights are conferred on the Nominee and how can he exercise the same?**

As per the provisions of Section 72 of the Act, the nominee is entitled to all the rights in the securities of the deceased shareholder in relation to such securities to the exclusion of all other persons. In the event of death of the shareholder, all the rights of the shareholder shall vest in the nominee. In case of joint holding, all the rights shall vest in the nominee only in the event of death of all the joint holders. The nominee is required to apply to the Company or to the DP as may be applicable, by reporting death of the nominator along with the attested copy of the death certificate.

**7.13. What is the procedure for getting shares in favor of the Nominee?**

Upon death of the shareholder or the joint holders, as the case may be, the Nominee would be required to furnish the following documents in addition to any other documents as may be required by the RTA for the purposes of identification:

- Original death certificate or copy of death certificate of the deceased shareholder, attested by a notary public/gazette officer or copy of the death certificate attested by the nominee(s) subject to verification with original by the RTA / the Company;
- Self-attested copy of PAN card of the nominee, issued by Income Tax Department. (Copy of PAN card may be substituted with ID proof in case of residents of Sikkim after collecting address proof);
- Copy of Birth Certificate (in case the nominee is a minor);
- KYC\* of the Claimant Guardian (in case nominee is a minor / of unsound mind);  
*\*If not KYC compliant.*
- Original security certificate(s).

RTA, on being satisfied about the identity of the Nominee, will request the Nominee elect to either register himself as a shareholder or to transfer the shares. The Nominee is then required to issue a notice of his election.

However, if the Nominee elects to be registered as a shareholder, he shall send a notice to RTA in writing, stating that he/she so elects.

After verifying and processing the request, the RTA shall intimate the nominee about its execution as may be applicable, by way of issuing a LOC within 30 days of receipt of request.

The nominee will have to submit demat request along with LOC to the Depository Participants within 120 days of issue of LOC for dematerialization of shares, as the shares shall be transmitted in demat form only.

**7.14. What is the effect on the nomination in the event of death of one of the joint holder?**

In the event of death of one of the joint holder, the shares get transmitted in the name of the surviving holder. The death of one of the joint holder does not rescind the nomination, as the Nominee will have title to the shares only after the death of all the joint holders. However, as stated earlier, the surviving shareholder(s) can make a fresh nomination.

**7.15. In case of death of the shareholders, what is the legal position of the nominee?**

In case of shares held by sole holder, upon the death of the shareholder, the nominee, to the exclusion of any other legal heir/beneficiary, is the only person in whom the shares vest. In other words, in case of a valid nomination, the Company will not entertain any claim from legal heirs or beneficiaries and the shares will be transmitted only in favour of the Nominee.

In case the nomination is made by joint-holders, it will come into play only upon the death of all the joint holders. Therefore, if one of the joint shareholders dies, the shares will devolve on the surviving shareholders to the exclusion of the nominee. In this case, the surviving shareholders may make a fresh nomination if they so desire.

**7.16. What is the effect of nomination when a shareholder dies leaving a minor nominee?**

In terms of Sub-Section (4) of Section 72 of the Companies Act, 2013, if the Nominee is a minor, it shall be lawful for the holder of the shares to nominate in the prescribed manner any person to become entitled to shares in the event of his/her death during the minority of the Nominee. A perusal of the prescribed Form SH 13 reveals that in case of a minor Nominee, a person is required to be named as a guardian to whom the shares shall vest in the event of death of the shareholder during minority of Nominee. On attaining majority, the Nominee is required to send a notice of his decision to either become a shareholder or to transfer the shares.

**7.17. What happens if the Nominee dies before the Shareholder?**

If a nominee dies before the shareholder, the nomination automatically gets cancelled until and unless the shareholder furnishes fresh nomination form to

the company. In such an event the company transmits the shares in favour of the legal heirs or the holder(s) of the succession certificate. Thus the heirs of the nominee are not entitled to the shares if the nominee has predeceased the shareholder.

**8. DIVIDEND:**

**8.1. What are the modes by which the dividend is paid?**

Dividend is paid under following modes, viz.:

- a) National Automated Clearing House (NACH).
- b) National Electronic Fund Transfer (NEFT).
- c) Real Time Gross Settlement (RTGS)
- d) Direct Credit to shareholders' account by bank.
- e) Physical despatch of Dividend Warrant.

**8.2. What is National Automated Clearing House (NACH)?**

The National Payments Corporation of India (NPCI) has implemented an electronic payment service termed as "National Automated Clearing House (NACH)" for banks, financial institutions, corporates and government departments. It is a centralised system, launched with an aim to consolidate multiple Electronic Clearing Systems running across the country, and has both Debit and Credit variants. NACH aims at facilitating inter-bank, high volume, debit/credit transactions, which are bulk and repetitive in nature. NACH system covers several Core Banking enabled banks spread across the geographical locations of the country irrespective of the location of the bank branches.

**8.3. What is NACH Credit for payment of dividend and how does it operate?**

NACH Credit is an electronic payment service used for affording credits to a large number of beneficiaries in their bank accounts for the payment of dividend by raising a single debit to the bank account of the user entity. NACH operates on the principle of single debit to the sponsor bank's account and multiple credits to different destination banks' accounts.

**8.4. What are the benefits of NACH (payment through electronic facilities)?**

Some of the major benefits are:

- a) Investor need not make frequent visits to his bank for depositing the paper

instruments.

- b) Prompt credit is given to the bank account of the investor through electronic clearing.
- c) Fraudulent encashment of warrants is avoided.
- d) Exposure to delays/loss in postal service are avoided.

**8.5. What is payment of dividend through NEFT and how does it operate?**

National Electronic Funds Transfer (NEFT) is a nation-wide payment system facilitating electronic transfer of funds from one account to another. Dividend payment through NEFT denotes payment of dividend electronically through RBI clearing, to selected bank branches which have implemented Core Banking Solutions (CBS). This extends to all across the country and is not necessarily restricted to the designated centres where payment can be handled through Electronic Clearing System. To facilitate payment through NEFT, the shareholder is required to ensure that the bank branch where his/her account is operated, is under CBS. The shareholder shall also ensure that particulars of the updated bank account are registered with the Company's RTA in case shares are held in physical form and with the concerned DP in case shares are held in demat form.

**8.6. What is payment of dividend through direct credit and how does it operate?**

The Company appoints a bank as its Dividend Banker for distribution of dividend. The said Banker carries out direct credit to those investors who are maintaining accounts with the said Bank, provided the bank account details are registered with the DP for dematerialised shares or with the Company's RTA for shares held in physical form, prior to the payment of dividend.

**8.7. What is payment of dividend through RTGS credit and how does it operate?**

The term real-time gross settlement (RTGS) refers to a funds transfer system that allows for the instantaneous transfer of money and/or securities. RTGS is the continuous process of settling payments on an individual order basis, without netting debits with credits across the books of a central bank. The minimum amount to be transferred through RTGS is ₹ 2 lakh. However, there is no upper limit on RTGS transactions. Dividend payment through RTGS denotes dividend amount transferred from one bank account to the other in realtime, without any delay.

**8.8. How does one get dividend on shares held in electronic form?**

The Company obtains the details of beneficiary holders (shareholders) from the Depositories as on the date of book closure / record date fixed by the Board of Directors. Dividend in respect of shares held in electronic form is normally credited through one of the abovementioned modes to the bank account as per the details provided in the Beneficiary Account of the shareholder maintained by the DP. The shareholders, who have registered their bank details with the Company / RTA, shall be entitled to get dividend in electronic form as mentioned above.

**8.9. What should a shareholder do in case of non-receipt of dividend?**

Shareholders should write to the Company's RTA, furnishing the particulars of the dividend not received, quoting the folio number / DP Id and Client Id particulars, as the case may be and provide bank details along with cancelled cheque bearing the name of the shareholder for updation of bank details and payment of unpaid dividend. The RTA would request the concerned shareholder to execute an indemnity, if any, before processing the request. **As per a circular dated 20<sup>th</sup> April, 2018 issued by SEBI, the un-encashed dividend can be remitted by electronic transfer only and no duplicate dividend warrants will be issued by the Company.** The shareholders are advised to register their bank details with the Company / RTA or their DPs, as the case may be, to claim un-encashed dividend from the Company.

**8.10. Why shares should be transferred before the book closure/record date fixed for dividend payment?**

The dividend on shares lying in the clearing account of the brokers cannot be made available to the shareholders directly by the Company. In case an investor has bought any shares, he must ensure that the shares are transferred to his demat account before the Book Closure/Record Date.

In case shares are not transferred by the stock broker in the demat account of the client, it means the shares are lying in client margin account of the broker maintained by the broker. The broker is liable to pay the amount of dividend received by him to the client in such case.

**8.11. What is the procedure for registration / updation of Bank Details?**

Shareholders are requested to register / update their complete bank details:

- a) with their Depository Participant(s) with whom they maintain their demat accounts if shares are held in dematerialised mode by submitting the requisite forms/ documents, and
- b) with the Company / Company's RTA by submitting duly filled and signed form ISR-1 along with below information/ documents, if shares are held in physical mode:-
  - (i) bank details (Bank account number, Bank and Branch Name and address, IFSC),
  - (ii) self-attested copy of the PAN card and
  - (iii) original cancelled cheque with name of security holder printed on it or Bank Passbook or Bank Statement attested by the Bank (in case it is not provided, the details available in the CML will be updated in the folio).

On processing of request for registration/updation of bank details, the RTA shall, suo-moto, generate request to the Company's bankers to pay electronically, all the moneys of/ payments to the holder that were previously unclaimed/ unsuccessful.

**8.12. What are the provisions relating to tax on dividend?**

The provisions relating to tax on dividend are provided for ready reference of Shareholders:

Pursuant to the requirement of Income Tax Act, 1961, the Company will be obligated to withhold taxes at the prescribed rates on the dividend paid to its shareholders.

The TDS / withholding tax rate would vary depending on the residential status of the shareholder and documents submitted by shareholder with the Company/ RTA/Depository Participant and accordingly the requisite withholding tax rate and documents required are stated below:-

**A. RESIDENT SHAREHOLDERS:**

**A.1 Tax Deductible at Source for Resident Shareholders**

Sr. No	Particulars	Withholding tax rate	Documents
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1	Valid PAN updated in the Company's Register of Members	10%	<p>No document required.</p> <p>If dividend does not exceed ₹ 5,000, no TDS/ withholding tax will be deducted.</p> <p>Also, please refer note (v) below.</p>
2	No PAN/Valid PAN not updated in the Company's Register of Members	20%	<p>TDS/ Withholding tax will be deducted at 20% as provided under Section 206AA of the Income Tax Act, 1961, regardless of dividend amount, if PAN of the shareholder other than individual is not registered with the Company/ RTA/ Depository Participant.</p> <p>In case of individual shareholder, if PAN is not registered with the Company/ RTA/ Depository Participant &amp; cumulative dividend payment to an individual shareholder is more than ₹ 5000, TDS/ Withholding tax will be deducted at 20% under Section 206AA of the Income Tax Act, 1961.</p> <p>All shareholders are requested to update their PAN with their Depository Participant (if shares are held in electronic form) and with the Company / RTA (if shares are held in physical form). Please quote all the folio numbers under which you hold your shares while updating the records.</p> <p>Please also refer note (v) below.</p>

3	A shareholder falls in the category of "specified person" as defined in Section 206AB of Income Tax Act, 1961.	20%	<p>The PAN of the shareholder registered with the Company/ RTA/ Depository Participant will be validated on "Compliance Check functionality for Section 206AB &amp; 206CCA" on Reporting Portal of Income Tax Department &amp; accordingly 20% TDS/ Withholding tax will be deducted with reference to Section 206AB of Income Tax Act, 1961, if the person is "specified person".</p> <p>Please also refer note (vii) below.</p>
4	Availability of lower/nil tax deduction certificate issued by Income Tax Department u/s 197 of Income Tax Act, 1961	Rate specified in the certificate	Lower tax deduction certificate obtained from Income Tax Authority to be submitted.
5	Benefits under Income Tax Rule 37BA	Rates based On applicability of Income Tax Act, 1961 to the beneficial owner.	If the registered shareholder e.g. Clearing Member/ intermediaries/ stock brokers are not the beneficial shareholders of the shares and if the declaration under Income Tax Rule Form 37BA(2) is provided regarding the beneficial owner, the TDS/ Withholding tax will be deducted at the rates applicable to the beneficial shareholders.

**A.2 No Tax is deductible at source on dividend payment to resident shareholders if the following documents as mentioned in column no.4 of**

the below table has been submitted to Company/ RTA/ Depository Participant.

Sr. No (1)	Particulars (2)	Withholding tax rate (3)	Documents (4)
1	Submission of Form 15G/15H	NIL	Declaration in Form No. 15G (applicable to an individual who is below 60 years) / Form 15H (applicable to an individual who is 60 years and above), fulfilling certain conditions. Also, please refer note (ii) below.
2	Shareholders to whom section 194 of the Income Tax, 1961 does not apply as per second proviso to section 194 such as LIC, GIC. etc.	NIL	Valid documentary evidence for exemption u/s 194 of Income Tax Act, 1961
3	Shareholder covered u/s 196 of Income Tax Act, 1961 such as Government, RBI, corporations established by Central Act & mutual funds.	NIL	Valid documentary evidence for coverage u/s 196 of Income Tax Act, 1961
4	Category I and II Alternate Investment Fund	NIL	SEBI registration certificate to claim benefit under section 197A (1F) of Income Tax Act, 1961
5	<ul style="list-style-type: none"> <li>• Recognised provident funds</li> <li>• Approved superannuation</li> <li>• fund</li> </ul>	NIL	Valid documentary evidence as per Circular No. 18/2017 issued by Central Board of Direct Taxes (CBDT)

	<ul style="list-style-type: none"> <li>Approved gratuity fund</li> </ul>		
6	National Pension Scheme	NIL	No TDS/ withholding tax as per section 197A (1E) of Income Tax Act, 1961. Valid documentary evidence (e.g., relevant copy of registration, notification, order, etc.) to be provided
7	Any resident shareholder exempted from TDS deduction as per the provisions of Income Tax Act or by any other law or notification	NIL	Valid documentary evidence substantiating exemption from deduction of TDS

**B. NON-RESIDENT SHAREHOLDERS:**

The table below shows the withholding tax on dividend payment to non-resident shareholders, the following document(s), as mentioned in column no. 4 of the below table, has been submitted to the Company / RTA. In case all necessary documents are not submitted, then the TDS/ Withholding tax will be deducted @ 20% (plus applicable surcharge and cess).

Sr. No (1)	Particulars (2)	Withholding tax rate (3)	Documents (4)
1	Foreign Institutional Investors (FIIs) / Foreign Portfolio Investors (FPIs) / Other Non-Resident shareholders	20% (plus applicable surcharge and cess) or tax treaty rate, whichever is beneficial	FPI registration certificate in case of FIIs / FPIs.  To avail beneficial rate of tax treaty following tax documents would be required: 1. Tax Residency certificate issued by revenue authority of country of residence of shareholder for the year in which dividend is received 2. PAN or declaration as per Rule

			<p>37BC of Income Tax Rules, 1962 in a specified format.</p> <p>3. E-filed Form 10F in case of shareholders having a PAN and manual Form 10F, filled &amp; duly signed in case of shareholders not having a PAN.</p> <p>4. Self-declaration for non-existence of permanent establishment/ fixed base in India</p> <p><b>(Note:</b> Application of beneficial Tax Treaty Rate shall depend upon the completeness of the documents submitted by the Non-Resident shareholder and review to the satisfaction of the Company)</p>
2	Indian Branch of a Foreign Bank	NIL	<p>Lower tax deduction certificate u/s 195(3) of Income Tax Act, 1961 obtained from Income Tax Authority</p> <p>Self-declaration confirming that the income is received on its own account and not on behalf of the Foreign Bank and the same will be included in taxable income of the branch in India.</p> <p>In case above documents are not made available, then Withholding tax will be at 40% (plus applicable surcharge and cess).</p>
3	Availability of Lower/NIL tax deduction certificate issued by Income Tax Authority	Rate specified in certificate	<p>Lower tax deduction certificate obtained from Income Tax Authority.</p> <p>In case above document is not made available, then TDS/ Withholding tax will be at 40% (plus applicable</p>

			surcharge and cess)
4	Any non-resident shareholder exempted from WHT deduction as per the provisions of Income Tax Act or any other law such as The United Nations (Privileges and Immunities) Act 1947, etc.	NIL	Necessary documentary evidence substantiating exemption from WHT deduction
5	A shareholder falls in the category of "specified person" as defined in Section 206AB of Income Tax Act, 1961	Double the applicable tax rate	The PAN of the shareholder registered with the Company / RTA / Depository Participant will be validated on "Compliance Check functionality for Section 206AB & 206CCA" on Reporting Portal of Income Tax Department & accordingly applicable TDS will be deducted with reference to Section 206AB of Income Tax Act, 1961
6	Benefits under Income Tax Rule 37BA	Rates based on the applicability of Act/ DTAA (whichever is beneficial) to the beneficial owner	If the registered shareholder e.g. Clearing Member/ intermediaries/ stock brokers are not the beneficial shareholders of the shares and if the declaration under Income Tax Rule Form 37BA(2) is provided regarding the beneficial owner, the TDS/ Withholding tax will be deducted at the rates applicable to the beneficial shareholders.  The documents as mentioned against Sr. No 1 to 4 in column 4 will be required in addition to the above declaration.

**Notes:**

- (i) The Company will issue soft copy of the TDS certificate to its shareholders through e-mail registered with RTA post filing of TDS

return as per statutory timelines specified under Income Tax Act, 1961. Shareholders will be able to download Form 26AS from the Income Tax Department's website <https://incometaxindia.gov.in/Pages/default.aspx>.

NSDL has provided a facility for submission of tax documents for claiming nil/low tax deduction from dividend whereby the Resident Non-Individual Members i.e. Insurance Companies, Mutual Funds and Alternative Investment Funds (AIF) and other domestic financial institutions established in India and Non-Resident Non- Individual Members i.e., Foreign Institutional Investors and Foreign Portfolio Investors may submit the relevant forms / declarations / documents through their respective custodian who is registered on NSDL platform.

- (ii) Application of TDS / withholding tax rate is subject to necessary verification by the Company of the shareholder details as available in Register of Members as on the Record Date and other documents available with the Company/RTA, provided by the shareholder by the specified date.
- (iii) In case TDS is deducted at a higher rate, an option is still available with the shareholder to file the return of income and claim an appropriate refund.
- (iv) No TDS will be deducted in case of resident individual shareholders whose dividend does not exceed ₹ 5000. However, where the PAN is not updated in Company/ RTA/ Depository Participant records or in case of an invalid PAN and cumulative dividend payment to individual shareholder is more than ₹ 5000, the Company will deduct TDS/ Withholding tax u/s 194 with reference to Section 206AA of Income Tax Act, 1961.

From July 1, 2023 the PAN of shareholder who have failed to link the PAN with AADHAR, as required, shall become inoperative & TDS will be deducted at the rate of 20% with reference to section 206AA of Income Tax Act.

All shareholders are requested to update their PAN with their Depository Participant (if shares are held in electronic form) and Company / RTA (if shares are held in physical form) against all their folio holdings.

- (v) In the event of any income tax demand (including interest, penalty, etc.) on the Company arising due to any declaration, misrepresentation, inaccurate or omission of any information provided by the shareholder, such shareholder will be responsible to indemnify the Company and also, provide the Company with all information / documents and co-operation in any appellate proceedings.
- (vi) The “specified person” as defined under Section 206AB of Income Tax Act, 1961 means a resident:
- who has not filed the return of income for AY 22-23/AY 23-24 and;
  - the aggregate of TDS and TCS is ₹ 50,000 or more in the said previous year.

Further, a non-resident person having a permanent establishment in India shall also be treated as “specified person” if the above conditions are met.

NOTE: The content, set out above, relating to tax on dividend are not exhaustive and does not purport to be a complete analysis or listing of all potential tax consequences in the matter of dividend payment. Shareholders should consult their tax advisors for requisite action to be taken by them.

### **Recommendations to the Shareholders**

Register NACH / NEFT Mandate and furnish correct bank account particulars to Company's RTA/Depository Participant (DP) as the case may be.

Investors holding shares in physical form should provide Form ISR-1 along with requisite documents to the Company's RTA and investors holding shares in demat form should ensure that correct and updated particulars of their bank account are available with their DP. This would also facilitate in receiving electronic credits of dividends, refunds etc. and avoid postal delays and loss in transit. Investors must update their new bank account numbers allotted after implementation of Core Banking Solution (CBS) to the Company's RTA in case of shares held in physical form and to the DP in case of shares held in demat form.



**9. TRANSFER OF UNPAID / UNCLAIMED DIVIDEND / SHARES IN THE NAME OF INVESTOR EDUCATION AND PROTECTION FUND (IEPF) AUTHORITY.**

**9.1. What are the statutory provisions governing unpaid dividend?**

Dividend lying in the Unpaid Dividend Account which remains unpaid or unclaimed for a period of seven years is required to be transferred to the Investor Education and Protection Fund (IEPF).

**9.2. What is the status of unclaimed / unpaid dividend for different years?**

The status of unclaimed and unpaid dividend of the Company is captured in Chart 1 below:

**Chart 1: Status of unpaid and unclaimed dividend for different years:**

	Unclaimed Dividend for financial year 1999-00 to 2007-08
Transfer of unpaid dividend	Transferred to Central Government's Investor Education and Protection Fund (IEPF)
Claims for unpaid dividend	Can be claimed from IEPF after complying with the prescribed procedure under the Act

**9.3. What are the provisions relating to transfer of shares in the name of IEPF Authority? Which shares of a company are liable to be transferred in the name of IEPF Authority?**

In accordance with Section 124(6) of the Act, all shares in respect of which dividend has not been paid or claimed for seven consecutive years or more shall be transferred by the Company in the name of IEPF Authority.

However, shares in respect of which specific order of Court or Tribunal or Statutory Authority restraining any transfer of such shares and payment of dividend is registered with the company or shares which are pledged or hypothecated under the provisions of the Depositories Act, 2018, shall not be so transferred.

The voting rights on shares transferred in the name of IEPF Authority shall remain frozen until the rightful owner claims the shares.

**9.4. What is the status of transfer of shares in the name of IEPF Authority?**

Adhering to the provisions of Section 124(6) of the Act read with the rules made thereunder, the Company has transferred to the IEPF Authority all shares in respect of which dividend had remained unpaid or unclaimed for seven consecutive years or more as on the due date of transfer. Details of shares transferred to the IEPF Authority are available on the website of the Company under the tab 'IEPF' and the same can be accessed through the link: <https://www.alokind.com/shareholder.html>. The said details have also been uploaded on the website of the IEPF Authority and the same can be accessed through the link: [www.iepf.gov.in](http://www.iepf.gov.in).

**9.5. Whether shares / dividend transferred in the name of IEPF Authority can be claimed from IEPF Authority?**

Yes. Shares transferred in the name of IEPF Authority in pursuance of Section 124(6) of the Act as well as dividend(s) transferred to IEPF in pursuance of Section 124(5) of the Act can be claimed from IEPF Authority.

**9.6. What is the procedure to claim shares and/or dividend from IEPF Authority?**

The detailed procedure for claiming unpaid amounts and shares from IEPF Authority is available on the website of the Company under the tab 'IEPF' and the same can be accessed through the link: [https://www.alokind.com/Investor\\_Relations-pdf/Shareholders\\_Information/IEPF/Procedure\\_for\\_Claim\\_from\\_IEPF.pdf](https://www.alokind.com/Investor_Relations-pdf/Shareholders_Information/IEPF/Procedure_for_Claim_from_IEPF.pdf).

The Shareholders are requested to go through the abovementioned procedure before submitting application for claim.

**9.7. Where can a shareholder / claimant submit his / her claim form etc. with the Company?**

A shareholder / claimant, claiming shares and/or dividend amounts shall, after filing Web-Form IEPF-5 with IEPF Authority electronically, submit the necessary documents, as prescribed in the said form, to the Company's Nodal Officer or RTA at any of its below given addresses:

Mr. Hitesh Kanani - Company Secretary, Compliance Officer and Nodal Officer (IEPF), Alok Industries Limited, Peninsula Business Park, Tower B,

2<sup>nd</sup> & 3<sup>rd</sup> Floor, G. K. Marg, Lower Parel, Mumbai - 400 013 (Registered Office Address: 17/5/1, 521/1, Village Rakholi/ Saily, Silvassa, The Union Territory of Dadra and Nagar Haveli - 396 230) or Link Intime India Private Limited C-101, 247 Park, LBS Marg, Vikhroli (West), Mumbai - 400 083.

## 10. MISCELLANEOUS

### 10.1. What is the procedure for obtaining duplicate share certificate(s) in case of loss/misplacement of original share certificate(s)?

Pursuant to SEBI Circular No. [SEBI/HO/MIRSD/MIRSD\\_RTAMB/P/CIR/2022/8 dated 25<sup>th</sup> January, 2022](#) shareholders may note that requests for effecting duplicate share certificate shall be carried out in dematerialized form only.

The General norms for processing of documents and the list of documents required for issue of duplicate share certificates are as follows:

- a) Form ISR-4 (Request for Issue of Duplicate Certificate). It should contain the details of share certificates lost, folio number, number of securities and other relevant information.
- b) Self-attested copy of Identity proof and Address Proof.
- c) Duly notarized Indemnity bond & Affidavit in the formats as prescribed in SEBI circular SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2022/70 dated May 25, 2022.
- d) if the market value of the securities is greater than Rs. 5 Lakhs as on the date of submission of application along with complete documentation, in addition to the documents mentioned in (a) to (c) above, the following documents are required to be submitted:
  - (i) Copy of FIR including e-FIR/ acknowledged Police complaint, /Court Injunction order / Copy of plaint where the Suit filed has been accepted by the Court and Suit no. has been given, which shall necessarily have details of Date of Loss, Distinctive Number Range, Certificate number -
  - (ii) Issuance of Advertisement in a widely circulated Newspaper regarding loss of securities.

Note: The value of securities to be reckoned on the basis of the closing price of such securities at any one of the recognized stock exchanges a day prior to the date of such submission in the application.

An overseas securities holder, in lieu of the documents mentioned in (d) (i) above, shall provide self-declaration of the security certificates lost/misplaced/stolen which shall be duly notarized / apostilled / attested

by the Indian Consulate / Embassy in their country of residence, along with self-attested copies of valid passport and overseas address proof.

The Company's RTA, on receipt of the valid documents and after due scrutiny, shall issue Letter of Confirmation to the shareholder(s). The shareholder has to submit the Letter of Confirmation within 120 days from the date of the said letter, with their Depository Participant for demat of shares. If the Company's RTA does not receive the demat request within 120 days of the date of Letter of Confirmation, the shares shall be credited to the Suspense Escrow Account of the Company.

**10.2. What is the procedure for replacement of share certificate(s) in lieu of torn, defaced or mutilated share certificate(s)?**

Pursuant to SEBI Circular No. [SEBI/HO/MIRSD/MIRSD\\_RTAMB/P/CIR/2022/8 dated 25<sup>th</sup> January, 2022](#) shareholders may note that requests for effecting replacement of share certificate shall be carried out in dematerialized form only.

Shareholder shall submit his / her application in [Form ISR-4](#) to Company's RTA, duly signed by all the shareholders, enclosing therein the torn, defaced or mutilated share certificate(s).

The Company's RTA, on receipt of the valid documents and after due scrutiny, shall issue Letter of Confirmation to the shareholder(s). The shareholder has to submit the Letter of Confirmation within 120 days from the date of the said letter, with their Depository Participant for demat of shares. If the Company's RTA does not receive the demat request within 120 days of the date of Letter of Confirmation, the shares shall be credited to the Suspense Escrow Account of the Company.

**10.3. What is the procedure for splitting of a share certificate into smaller lots?**

Pursuant to SEBI Circular No. [SEBI/HO/MIRSD/MIRSD\\_RTAMB/P/CIR/2022/8 dated 25<sup>th</sup> January, 2022](#) shareholders may note that requests for effecting splitting of share certificate shall be carried out in dematerialized form only.

Shareholders may submit his / her application in [Form ISR-4](#) to Company's RTA, duly signed by all the shareholders, enclosing the relevant share certificate for splitting into smaller lots.

The Company's RTA, on receipt of the valid documents and after due scrutiny, shall issue Letter of Confirmation to the shareholder(s). The shareholder has to submit the Letter of Confirmation within 120 days from the date of the said letter, with their Depository Participant for demat of shares. If the Company's RTA does not receive the demat request within 120 days of the date of Letter of Confirmation, the shares shall be credited to the Suspense Escrow Account of the Company.

**10.4. What is the procedure to get the certificates issued in various denominations consolidated into a single certificate?**

Consolidation of share certificates helps in saving cost while dematerializing the share certificates and also provides convenience in holding the shares physically. **However, pursuant to SEBI Circular No. [SEBI/HO/MIRSD/MIRSD RTAMB/P/CIR/2022/8](#) dated 25th January, 2022 shareholders may note that requests for effecting consolidation of shares shall be carried out in dematerialized form only.**

Shareholders may submit his / her application in [Form ISR-4](#) to Company's RTA, duly signed by all the shareholders, enclosing the relevant share certificate for consolidation.

The Company's RTA, on receipt of the valid documents and after due scrutiny, shall issue Letter of Confirmation to the shareholder in lieu of share certificate lodged for consolidation. The shareholder has to submit the Letter of Confirmation within 120 days from date of the said letter, with his/her Depository Participant for demat of shares. If the Company's RTA does not receive the demat request within 120 days of the date of Letter of Confirmation, the shares shall be transferred to the Suspense Escrow Demat account of the Company.

**Exercise caution**

There is a likelihood of fraudulent transfers in case of folios with no movement or where a shareholder has either expired or is not residing at the address registered with the Company. The Company's RTA should be updated on any change of address or contact details. Similarly, information of death of shareholder should also be communicated promptly.

**10.5. What is the procedure for registering change of name in case of minor mismatch/major mismatch in name of shareholders?**

**Minor Mismatch in name**

For minor mismatch in name between any two set of documents presented by holder / claimant for any service request, the Company's RTA shall additionally obtain self-attested copy of any one of the following documents, explaining the difference in names:

List of Documents:- Unique Identification Number (UID) (Aadhaar), Valid Passport, Driving license (in Smart Card form or Book form or copy of digital form), PAN card with photograph, Identity card / document with applicant's Photo, issued by any of the following: Central / State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions duly attested by employer with date and organization stamp), Marriage certificate, Divorce decree.

However, the existing norms of the Depositories, to process demat request where there is a minor mis-match on account of initials not being spelt out fully, or put after or prior to surname, provided the signature in the Demat Request Form (DRF) matches with the signature card with the Company's RTA, shall continue to be in force.

**Change of Name/Major Mismatch in Name**

In the event of change of name/major mismatch in name of holder, the holder/claimant shall submit the following documents:-

- a. In case of change in name on account of marriage – Marriage Certificate or copy of valid passport showing husband's name or publication of name change in official gazette, and any one document from the aforesaid list of documents.
- b. In case of change in name on account of reasons other than marriage – Publication of name change in official gazette, and any one document from the aforesaid list of documents.

**10.6. What is the procedure to get change of address registered in the Company's records?**

Shareholders holding shares in physical form shall send Form ISR-1, duly signed by all the holders, giving the details of the new address along with Pin Code to the Company/Company's RTA. Shareholders are requested to quote their folio number(s) and furnish any one of the following documents:

- a) Unique Identification Number (UID) (Aadhaar)
- b) Valid Passport/ Registered Lease or Sale Agreement of Residence/ Driving License
- c) Flat Maintenance bill accompanied with additional self-attested copy of Identity Proof of the holder/claimant
- d) Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not older than 3 months.
- e) Identity card / document with address, issued by any of the following: Central/State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions duly attested by employer with date and organization stamp
- f) For FII / sub account, Power of Attorney given by FII / sub-account to the Custodians (which are duly notarized and / or apostilled or consularised) that gives the registered address should be taken
- g) The proof of address in the name of the spouse accompanied with self-attested copy of Identity Proof of the spouse
- h) Client Master List (CML) of the Demat Account of the holder / claimant, provided by the Depository Participant.

However, additionally, self-attested copy of Identity Proof of the holder/claimant may be obtained to process the request in case the flat maintenance bill or proof of address in the name of spouse is submitted for any service request.

- i. Company's RTA shall send intimation about the request for change in address to the holder at both the old and new addresses by Speed post, providing, timeline of 15 days for raising objection, if any.
- ii. In case the signature matches with the record available with the Company's RTA, the request for change in address can be processed without keeping it on hold for 15 days.
- iii. In the absence of any objection, the request shall be processed.
- iv. If any one of the letter returns undelivered or if there is an objection, the Company's RTA shall obtain any one of the documents mentioned above reflecting the old address as available in the folio or counterfoil of dividend warrant received from the Company or bank statement showing credit of dividend.

However, in case where the letter is undelivered at the old address, Company's RTA shall not insist for any proof of the old address provided the current address proof is in the form of an address proof issued by a Government Authority.

**10.7. Can there be multiple addresses for a single folio?**

No. There can be only one registered address for one folio.

**10.8. What is the procedure for change in Signature / Updation of new signature?**

Shareholders can approach the RTA for change of signature formalities, by sending a request in Form ISR-1, duly signed by the shareholder(s), along with the reasons for change of signatures:

- Change in signature due to passage of time/old age.
- Objections raised by RTA for earlier transactions, due to material signature difference on the submitted documents.
- Change in signature due to attainment of Majority (i.e. Minor becomes major).

In view of the above, the following documents are required to be submitted with the RTA along with self-attested copy of PAN card:



**A. Minor Mismatch of Signature:**

In case of minor mismatch in the signature of the securities holder as available in the folio of the RTA and the present signature, the RTA, while processing the service request, shall intimate the holder by speed post on Registered address/Registered E-mail Id/SMS on registered mobile number about the minor mis-match in signature, providing timeline of 15 days for raising objection, if any. In the absence of any objection, the service request shall be processed. The timeline to process the service request will commence after the notice period of 15 days.

If the letter sent by RTA through speed post returns undelivered, but there is confirmation by the investor for no-objection via return e-mail registered with the STA, the service shall be processed. If the letter is returned undelivered and there is no confirmation by the investor for no-objection, RTA shall follow the procedure prescribed for major mismatch in signature as covered in the below Clause B.

In case of any objection, the Company's RTA, after removing the objection, shall advise the Investor to furnish signature verification by the Banker along with any of the documents viz. Aadhaar Card, Passport, Driving License, PAN Card with photograph, Identity Card/document with applicant's photo, marriage certificate, divorce decree.

**B. Major mismatch in signature or Updation / Non Availability of Signature Card with RTA:**

In case of major mismatch in the signature of the holder as available in the folio of the RTA and the present signature or if the same is not updated/available with the RTA, then the RTA shall intimate the holder / claimant about such mis-match/updation in signature, by Speed post on Registered address/Registered E-mail Id/SMS on registered mobile number. In such cases holder/claimant can complete either of the two processes:

- (i) furnish original cancelled cheque with name of the security holder printed on it / Self-attested copy of Bank Passbook / Bank Statement and Banker's attestation of the signature of the same bank account as per Form ISR-2.

- (ii) Submission of requisite documents through in-person visit to the office of RTA. In such a case, the investor shall sign before the authorized personnel of the RTA, along with PAN card and any one of the additional documents i.e. Unique Identification Number (UID) (Aadhaar) or Valid Passport or Driving license (in Smart Card form or Book form or copy of digital form) or Identity card / document with applicant's Photo, issued by any of the following: Central / State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions duly attested by employer with date and organization stamp), in original for verification by the RTA, and submit self-attested copies of the same.

#### **10.9. How do I register for E-Communication?**

To register for e-communication and to receive all documents, notices, including Annual Reports and other communications of the Company in electronic mode:

- a) Shareholders holding shares in physical mode are requested to register / update the same by writing to the Company with details of folio number and attaching a self-attested copy of PAN card at [investor.relations@alokind.com](mailto:investor.relations@alokind.com) or to Link Intime at [rnt.helpdesk@linkintime.co.in](mailto:rnt.helpdesk@linkintime.co.in).
- b) Shareholders holding shares in dematerialized mode are requested to register / update their email addresses with the Depository Participant(s) with whom they maintain their demat accounts.

#### **10.10. How to intimate change in mobile number?**

Shareholders are requested to intimate their mobile number and changes therein, if any, to Link Intime in Form ISR-1, if shares are held in physical form or to their DP if the holding is in electronic form, to receive communications on corporate actions and other information of the Company.

#### **10.11. What is the procedure for authorising any other person to deal with the shares of the Company?**

A shareholder needs to execute a Power of Attorney in favour of the concerned person/entity and submit a notarised copy of the same along with

confirmation letter that the POA has been executed in favour of POA holder to the Company's RTA. After scrutiny of the documents, the RTA shall register the Power of Attorney and inform the registration details to the shareholder concerned. Whenever the Power of Attorney holder proposes to enter into a transaction, the registration number mentioned above should be quoted in the correspondence.

If the shares are in demat mode, then the registration of POA shall be executed by the Depository Participant.

**10.12. Whether a shareholder's Power of Attorney (POA) submit an application to effect a change in his address?**

Yes, if the POA has been registered with the Company and if such POA contains a provision authorizing him to instruct companies to record change in shareholders address. In case the POA has not been registered, POA holder is required to submit a certified true copy of the POA along with his application for effecting change in shareholders address.

**10.13. Can a POA once made be revoked?**

Yes, Shareholders have the option to revoke the existing registered POA by making a written request to the Company's RTA.

**11. INVESTOR SERVICING AND GRIEVANCE REDRESSAL - EXTERNAL AGENCIES**

**11.1. Ministry of Corporate Affairs (MCA)**

MCA has launched its e-Governance initiative, that is, MCA21, on the MCA portal ([www.mca.gov.in](http://www.mca.gov.in)). One of the key benefits of this initiative is timely redressal of investor grievances. MCA21 system accepts complaints under the e-Form prescribed, which has to be filed online.

The status of complaint can be viewed by quoting the Service Request Number (SRN) provided at the time of filing the complaint.

**11.2. Securities and Exchange Board of India (SEBI)**

SEBI, in its endeavour to protect the interest of investors, has provided a platform wherein the investors can lodge their grievances. This facility is known as SEBI Complaints Redress System (SCORES) and is available on the

SEBI website ([www.sebi.gov.in](http://www.sebi.gov.in)) and on SCORES' website (<http://scores.gov.in>).

### 11.3. SEBI Complaints Redress System (SCORES)

The investor complaints are processed in a centralized web based complaints redress system. The salient features of this system are: Centralised database of all complaints, online upload of Action Taken Reports (ATRs) by the concerned companies/RTA and online viewing by investors of actions taken on the complaint and its current status.

All companies against whom complaints are pending on SCORES, have to take necessary steps to resolve the complaint and submit action taken report within thirty days of receipt of complaint and also keep the complainant duly informed of the action taken.

SEBI has issued frequently asked questions (FAQs) in respect of SCORES which inter alia lists down the matters which are considered as complaints and handled by SEBI, the matters which are not considered as complaints, how the investor complaints' are handled by SEBI, the arbitration mechanism, etc. These FAQs can be accessed on the link: <http://scores.gov.in/scores/Docs/FAQ-SCORES.pdf>.

### 11.4. Stock Exchanges

**National Stock Exchange of India Limited (NSE)** – NSE has formed an Investor Services Cell (ISC) and Investor Grievance Resolution Panel (IGRP) to redress investors' grievances electronically. The investors have to log on to the website of NSE, that is, [www.nseindia.com](http://www.nseindia.com) and go to the tab "Invest – Making a Complaint"

**BSE Limited (BSE)** – BSE has provided an opportunity to the investors to file their complaints electronically through its website: [www.bseindia.com](http://www.bseindia.com) under the "Investor" section.

Dispute Resolution Mechanism is available at Stock Exchanges. In case of any dispute pending with the Company and / or with our Registrar & Share Transfer Agent – Link Intime India Pvt. Ltd., on delay or default in processing request, investors can file for arbitration with the Stock Exchanges (i.e. BSE / NSE). For more details, please see the web links of the stock exchanges - BSE: <http://tiny.cc/m1l2vz> or NSE: <http://tiny.cc/s1l2vz> .

## 11.5. Depositories and Depository Participant

### What is a Depository?

A depository is an organisation which holds securities (like shares, debentures, bonds, government securities, mutual fund units etc.) of investors in electronic form at the request of the investors through a registered Depository Participant. It also provides services related to transactions in securities.

### How many Depositories are registered with SEBI?

At present two Depositories viz. National Securities Depository Limited (NSDL) and Central Depository Services (India) Limited (CDSL) are registered with SEBI.

**National Securities Depository Limited** – In order to help its clients resolve their doubts, queries, complaints, NSDL has provided an opportunity wherein they can raise their queries.

#### Contact Details:

Trade World, 4<sup>th</sup> Floor, Kamala Mills Compound, Senapati Bapat Marg, Lower Parel, Mumbai – 400013.

Website: [www.nsd.co.in](http://www.nsd.co.in)

**Central Depository Services (India) Limited** – Investors who wish to seek general information on depository services may mail their queries to: [helpdesk@cdslindia.com](mailto:helpdesk@cdslindia.com). With respect to the complaints/grievances of the demat account holders relating to the services of the DP/Depository, e-mails may be addressed to: [complaints@cdslindia.com](mailto:complaints@cdslindia.com).

#### Contact Details:

Phiroze Jeejeebhoy Towers, 28<sup>th</sup> Floor, Dalal Street, Mumbai – 400001.

Website: [www.cdslindia.com](http://www.cdslindia.com).

### Who is a Depository Participant?

A Depository Participant (DP) is an agent of the depository through which it interfaces with the investor and provides depository services. Public financial institutions, scheduled commercial banks, foreign banks operating in India with the approval of the Reserve Bank of India, state financial corporations, custodians, stock-brokers, clearing corporations /clearing houses, NBFCs and Registrar to an Issue or Share Transfer Agent complying

with the requirements prescribed by SEBI can be registered as DP. Banking services can be availed through a branch whereas depository services can be availed through a DP.

## **12. GRIEVANCE REDRESSAL - MODES AND ESCALATION MECHANISM**

In case of any grievance, shareholders can address the same to the Company, RTA, Stock Exchanges or SEBI. The detailed procedure for addressing the grievance to the concerned authorities is as follows:

### **To the Company / RTA**

- Investor shall check the website of the Company / RTA for the dedicated grievance e-mail ID and other relevant details of the grievance redressal division / compliance officer for the purpose of registering grievances / complaints.
- Investor can dial on help numbers or point of service of RTA for any query or concern.
- For lodging the grievance, the investor can write to the Company / RTA's dedicated e-mail address or through physical letter.
- While lodging a complaint it is necessary for investor to mention the following:
  - Nature of Complaint;
  - Name of Issuer Company;
  - Folio number;
  - Full Name of shareholder;
  - E-mail address and mobile number;
  - Reference to any previous correspondence made in this regard;
  - Provide the relevant documents; and
  - Also update KYC and details, if there are any changes.
- Upon receipt of the complaint, RTA after due verification shall send intimation of redressal / resolution of complaint via e-mail / physical letter as applicable within 30 days from the date of receipt of complaint.

**To Stock Exchanges - Online registration of complaint / grievance on stock exchanges:**

- The nature of the complaint that can be lodged against listed company has been given on the websites of the Stock Exchange. Upon receipt of complaint, the stock exchange shall forward the same to the concerned company with a copy to the complainant.
- If the company fails to redress the complaint within 30 days, the exchange sends a reminder to the company and follows up with the company and its respective RTA.
- If the investor is not satisfied with the redressal / resolution of the complaint by the listed company / RTA, investor can lodge the complaint on the SEBI SCORES.